

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Our Docket No.: 6971.02

Date: 28 July 2003

First Named Inventor: Leonard S. Schultz

Title: **DEVICE AND METHOD FOR BODY LUMEN OCCLUSION**

Express Mail No.: EV 324256644 US

ADDRESS TO:

Mail Stop PATENT APPLICATION

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

19249 U.S. PTO
10/628843
07/28/03

APPLICATION ELEMENTS

1. ☒ Fee Transmittal Sheet
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status
3. ☒ Specification with Cover Sheet Total Pages **21**
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
4. ☒ Drawings (35 U.S.C. 113) Total Sheets **5**
5. ☐ Oath or Declaration Total Pages
 - a. ☐ Newly Executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. 1.63(d))
(for continuation/divisional with Box 18 completed)
 - I. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application
(see 37 C.F.R. 1.63(d)(2) and 1.33(b))
6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(If applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

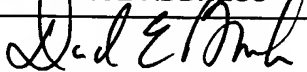
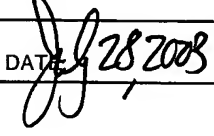
9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 C.F.R. 3.73(b) Submission
12. ☐ Copy of Power of Attorney from prior application
13. ☐ English Translation Document (if applicable)
14. ☐ Information Disclosure Statement
(with Copies of Citations as necessary)
15. ☒ Preliminary Amendment Total Pages **6**
16. ☒ Return Receipt Postcard
(Should be specifically itemized)
17. ☐ Certified Copy of Priority document(s)
(If foreign priority is claimed)
18. ☒ Other: Check No. 961269 in the amount of \$375.00

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☒ Continuation-in-part (CIP) of prior application U.S. patent application
serial no. 09/891,961, filed June 26, 2001, now U.S. Patent 6,599,299.

For continuation or divisional applications: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference.

CORRESPONDENCE ADDRESS

| | | | |
|-----------|--|---|---|
| ATTY NAME | David E. Bruhn Reg. No. 36,762 | SIGNATURE:  | DATE:  |
| ADDRESS | DORSEY & WHITNEY LLP Intellectual Property Department Suite 1500 50 South Sixth Street Minneapolis, MN 55402 | Customer Number: 25763 | |
| TELEPHONE | 612-340-6317 | | |
| FAX | 612-340-8856 | | |

07/28/03
17648 U.S. PTO

APPLICATION FEE TRANSMITTAL SHEET (FY 2003)


Complete if Known

| | |
|----------------------|--------------------|
| Application No. | Not Yet Known |
| Filing Date | Herewith |
| First Named Inventor | Leonard S. Schultz |
| Group Art Unit | Not Yet Known |
| Examiner Name | Not Yet Known |
| Atty. Docket Number | 6971.02 |

| METHOD OF PAYMENT (Check One) | | | | FEE CALCULATION (Continued) | | | |
|--|------------------------|---|--------------------|-----------------------------|------------------------|--|----------|
| 1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: 04-1420 Deposit Account Name: DORSEY & WHITNEY LLP <input checked="" type="checkbox"/> Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 <input checked="" type="checkbox"/> Applicant claims small entity status (see 37 C.F.R. 1.27) | | | | 3. ADDITIONAL FEES | | | |
| 2. <input checked="" type="checkbox"/> Check Enclosed | | | | Large Entity Fee | Small Entity Fee | Fee Description | Fee paid |
| FEE CALCULATION | | | | 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1. BASIC FILING FEE | | | | 130 | 65 | Surcharge - Late nonprovisional filing fee or oath | |
| Large Entity Fee | Small Entity Fee | Fee Description | | 180 | 180 | Submission of IDS | |
| 160 | 80 | <input type="checkbox"/> Provisional Filing Fee | | 40 | 40 | Recording each patent assignment per property (times number of properties) | |
| 750 | 375 | <input checked="" type="checkbox"/> Utility Filing Fee | | | | | |
| 330 | 165 | <input type="checkbox"/> Design Filing Fee | | | | | |
| 750 | 375 | <input type="checkbox"/> Reissue Filing Fee | | | | | |
| Subtotal (1) \$375 | | | | 110 | 55 | Extension for reply within first month | |
| 2. EXTRA* CLAIM FEES | | | | 410 | 205 | Extension for reply within second month | |
| Number Claims | Prior | Extra | Fee from Below* | 930 | 465 | Extension for reply within third month | |
| Total 17 | - | 20 | = 0 x \$9.00 | 1,450 | 725 | Extension for reply within fourth month | |
| Indep. 3 | - | 3 | = 0 x \$42.00 | 1,970 | 985 | Extension for reply within fifth month | |
| Multiple Dependent Claims | | | = x | 750 | 375 | Submission After Final 1.129 | |
| Subtotal (2) \$0 | | | | 320 | 160 | Notice of Appeal | |
| *Calculation of Extra Claim Fees | | | | 320 | 160 | Filing a brief in support of an appeal | |
| Large Entity Fee | Small Entity Fee | Fee Description | | 280 | 140 | Request for oral hearing | |
| 18 | 9 | Claims in excess of 20 | | 110 | 55 | Terminal Disclaimer Fee | |
| 84 | 42 | Independent claims in excess of 3 | | 130 | 130 | Petitions to the Commissioner | |
| 280 | 140 | Multiple dependent Claim | | 50 | 50 | Petitions related to provisional applications | |
| 84 | 42 | Reissue independent claims over original patent | | | | | |
| 18 | 9 | Reissue claims in excess of 20 and over original patent | | 1,300 | 650 | Utility/Reissue Issue Fee (including advance copies) | |
| | | | | 470 | 235 | Design Issue Fee (inc. advance copies) | |
| | | | | 750 | 375 | Request for Continued Examination (RCE) | |
| | | | | 300 | 300 | Publication fee for early, voluntary, or normal publication | |
| | | | | 300 | 300 | Publication fee for re-publication | |
| | | | | 110 | 55 | Petition to Revive - unavoidable | |
| | | | | 1,300 | 650 | Petition to Revive - unintentional | |
| | | | | OTHER FEE (specify) | | | |
| | | | | Subtotal (3) | | | \$0 |
| | | | | Total Amount of Payment: | | | \$375.00 |

Submitted by:

| | | | |
|---------------------------------|----------------------------------|--|----------------------------|
| CUSTOMER NUMBER 25763 | DORSEY & WHITNEY LLP | Intellectual Property Department Suite 1500, 50 South Sixth Street Minneapolis, MN 55402 | |
| Name: David E. Bruhn | Signature: <i>David E. Bruhn</i> | Phone No.: 612-340-6317 | Fax No.: 612-340-8856 |
| Signature: | | Reg. No.: 36,762 | Date: <i>July 28, 2003</i> |

| | | | |
|--|-------------------------|---------------------------|---------------------------------|
| CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) | | | Docket No. 6971.02 |
| Applicant(s): Dr. Leonard L. Schultz | | | |
| Serial No. Not Yet Known | Filing Date Herewith | Examiner Not Yet Known | Group Art Unit Not Yet Known |
| Invention: DEVICE AND METHOD FOR BODY LUMEN OCCLUSION | | | |
| I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; margin: 10px 0;">Appln Trans (1); Fee Trans (1); Appln Data Sheet (2); Prelim Amend (6); Spec w/Cover Sheet (21); Frml Drwgs, FIGS. 1A, 1B, 2-4 (5); Check No. 961269; Rcpt Pstcrd</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"><div style="text-align: center;"><u>28 July 2003</u> <i>(Date)</i></div><div style="text-align: center; width: 40%;"><u>Kim Anderson</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <i>(Signature of Person Mailing Correspondence)</i> <u>EV 324256644 US</u> <i>("Express Mail" Mailing Label Number)</i></div></div> | | | |
| Note: Each paper must have its own certificate of mailing. | | | |